

## HAMILTON, BROOK, SMITH &amp; REYNOLDS, P.C.

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**  
*(Only for new nonprovisional applications under  
37 C.F.R. 1.53(b))*

Attorney Docket No. 1866.2002-000 (D16460)

First Named Inventor or Application Identifier Randal A. Salvatore

Express Mail Label No. EL552579323US

Title of Invention

**Electroabsorption Modulated Laser**

MAY 23 2002

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents  
Utility Application  
Washington, D.C. 20231

C O P Y

1. [ ] Fee Transmittal Form  
*(Submit an original, and a duplicate for fee processing)*
2. [X] Specification [Total Pages [ 21 ]]  
*(preferred arrangement set forth below)*
  - Descriptive title of the invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to microfiche Appendix
  - Background of the Invention
  - Summary of the Invention
  - Brief Description of the Drawings
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. [X] Drawing(s) (35 U.S.C. 113) Total Sheets [ 9 ]
   
[ ] Formal [X] Informal
   
[X] Fig. of the Drawings for Publication [ 2 ]
4. [ ] Oath or Declaration/POA [Total Pages [ ]]
   
a. [ ] Newly executed (original or copy)
   
b. [ ] Copy from a prior application (37 C.F.R. 1.63(d))
 *(for continuation/divisional with Box 18 completed)*
  
[NOTE Box 5 below]
   
i. [ ] DELETION OF INVENTOR(S)
 Signed statement attached deleting
 inventor(s) named in the prior
 application, see 37 C.F.R. 1.63(d)(2)
 and 1.33(b).
5. [ ] Incorporation By Reference *(useable if Box 4b is checked)*
 The entire disclosure of the prior application, from which a
 copy of the oath or declaration is supplied under Box 4b, is
 considered as being part of the disclosure of the accompanying
 application and is hereby incorporated by reference therein.
6. [ ] Microfiche Computer Program (*Appendix*)
   
7. [ ] Nucleotide and/or Amino Acid Sequence Submission
 *(if applicable, all necessary)*
  - [ ] Computer Readable Copy
  - [ ] Paper Copy (identical to computer copy)
   
[ ] Pages
  - [ ] Statement verifying identity of above copies
8. [ ] Assignment Papers (cover sheet & documents)
   
[X] Assignee - Corning Lasertron Inc.  
Corning, NY
9. [ ] 37 C.F.R. 3.73(b) Statement [ ] Power of Attorney
 *(when there is an assignee)*
10. [ ] English Translation Document *(if applicable)*
11. [ ] Information Disclosure Statement (IDS)/PTO-1449 [ ] Copies of IDS Citations
12. [ ] Preliminary Amendment
13. [X] Return Receipt Postcard (MPEP 503)
 *(Should be specifically itemized)*
14. [ ] Small Entity Statement(s) [ ] Statement filed in prior application,
 status still proper and desired
15. [ ] Certified Copy of Priority Document(s)
 *(if foreign priority is claimed)*
16. [ ] Nonpublication Request *(check parent application)*
17. [ ] Other: \_\_\_\_\_

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

[ ] Continuation [ ] Divisional [ ] Continuation-in-part (CIP) of prior application No.:

Prior application information: Examiner: Group Art Unit:

## 19. CORRESPONDENCE ADDRESS

NAME	Thomas O. Hoover HAMILTON, BROOK, SMITH & REYNOLDS, P.C.				
ADDRESS	Two Militia Drive				
CITY	Lexington	STATE	MA	ZIP CODE	02421-4799
COUNTRY	USA	TELEPHONE	(781) 861-6240	FAX	(781) 861-9540

Signature

Date

3/15/01

Submitted by  
Typed or Printed Name

Timothy J. Meagher

Reg. Number

39,302



## UNITED STATES PATENT AND TRADEMARK OFFICE



Page 1 of 1  
H-3  
COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/037,461	11/09/2001	Richard Sahara	1866.2005-000 (D16857)

## CONFIRMATION NO. 4812

## FORMALITIES LETTER



\*OC000000007669966\*

David J. Thibodeau, Jr., Esq.  
HAMILTON, BROOK, SMITH & REYNOLDS, P.C.  
530 Virginia Road  
P.O. Box 9133  
Concord, MA 01742-9133

Date Mailed: 03/19/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

## FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$234.
  - \$234 for 13 total claims over 20.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1104.**

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740.00  
234.00  
130.00

05/24/2002 Y00LITE1 00000017 16037461

01 FC:101  
02 FC:103  
03 FC:105

*A copy of this notice MUST be returned with the reply*

*Willowma*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

MAY 23 2002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Richard Sahara, Angela Hohl-Abichedid, and Hanh Lu

4  
3

Application No.: 10/037,461 Group: 2881

Filed: November 9, 2001 Examiner: Not Assigned Yet

For: DISTRIBUTED FEEDBACK LASER FOR ISOLATOR-FREE OPERATION

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Assistant Commissioner for Patents, P.O. Box 2327, Arlington, VA 22202

on 5/20/02

Date

Nadine Z. Kush

Signature

Nadine Z. Kush

Typed or printed name of person signing certificate

REPLY TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Box Missing Parts  
Assistant Commissioner for Patents  
P.O. Box 2327  
Arlington, VA 22202

Sir:

In reply to the Notice to File Missing Parts dated March 19, 2002, the following documents and fees are being submitted for filing in the captioned application. A copy of the Notice is attached.

**[ X ] EXECUTED DECLARATION FOR PATENT APPLICATION**

*(Separate transmittal letter and postcard not required)*

**[ X ] POWER OF ATTORNEY DOCUMENT**

**[ ] GRANTED BY INVENTOR(S)**

**[ X ] GRANTED BY ASSIGNEE, including Statement under 37 C.F.R. 3.73(b)**

*(Separate transmittal letter and postcard not required)*

**[ ] PRELIMINARY AMENDMENT**

*(Separate transmittal letter and postcard not required)*

**[ X ] FILING FEE - with Fee Transmittal for Patent Applications in duplicate**

Fee calculations based on:

**[ X ] Claims as originally filed**

**[ ] Claims upon entry of the Preliminary Amendment filed [herewith] [with the application]**

*(Separate transmittal letter and postcard not required)*

**[ X ] SURCHARGE - surcharge fee of \$130**

*(Separate transmittal letter and postcard not required)*



**SEQUENCE LISTING** - Filed concurrently and is attached

*(Separate transmittal letter and postcard required)*

**SUBSTITUTE DRAWINGS**

Sheets of substitute drawings consisting of Figs. 1 - [ ] are enclosed

*(Separate transmittal letter and postcard not required)*

**PETITION FOR EXTENSION OF TIME**

Applicant hereby petitions to extend the time to respond to the Notice to File Missing Parts dated [ ] for [ ] month(s) from [ ] to [ ]

The appropriate fee of \$[ ] is included in the enclosed check

A [ ] month extension of time to respond to the Notice to File Missing Parts dated [ ] was filed on [ ] with payment of a \$[ ] fee

Applicant hereby petitions for an additional [ ] month extension of time to respond to the Notice to File Missing Parts. The appropriate fee of \$[ ] is included in the enclosed check

*(Separate Petition for Extension of Time and postcard not required)*

**REQUEST FOR CORRECTED FILING RECEIPT** - Filed concurrently and is attached

*(Separate transmittal letter and postcard required)*

**STATEMENT CLAIMING SMALL ENTITY STATUS**

Was filed on [ ]

Is enclosed herewith

*(Separate transmittal letter and postcard not required)*

In view of the small entity status of the captioned application, we hereby request a reimbursement of 50% of the filing fees in the amount of \$[ ] which were paid on [ ] to be deposited in Deposit Account No. 08-0380

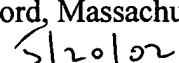
The fees required for filing the indicated documents are enclosed in the form of a check in the total amount of \$1104. Please charge any deficiency or credit any overpayment in the fees that may be due in this matter to Deposit Account No. 08-0380. A copy of this letter is enclosed for accounting purposes.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By   
Timothy J. Meagher  
Registration No.: 39,302  
Tel.: (978) 341-0036  
Fax: (978) 341-0136

Concord, Massachusetts 01742-9133

Date: 



HAMIL N, BROOK, SMITH & REYNOLDS, P.C.

MAY 23 2002

FEDERAL TRANSMITTAL FOR PATENT APPLICATIONS	Attorney Docket Number	1866.2005-000
	Application Number	10/037,461
	First Named Inventor	Richard Sahara

CLAIM CALCULATION (includes any preliminary amendment)

CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
	TOTAL CLAIMS (37 CFR 1.16(c) or (j))	33 - 20* =	13	x \$ 18 =	\$ 234
	INDEPENDENT CLAIMS (37 CFR 1.16(b) or (i))	3 - 3** =	0	x \$ 84 =	\$ 0
	MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d))			+ \$ 280 =	\$
				BASIC FEE (37 CFR 1.16(a) or (h))	\$ 740
				Total of above Calculations =	\$ 974
				Reduction by 50% for filing by small entity (37 CFR 1.9, 1.27, 1.28) =	\$
				TOTAL =	\$ 974
				Surcharge - Late Filing of Declaration or Filing Fees (37 C.F.R. 1.16(e)) =	\$ 130
				Petition for Extension of Time Fee (37 C.F.R. 1.17) =	\$
				Assignment Recordation Fee = (only when filed with application)	\$
	* Reissue claims in excess of 20 and over original patent ** Reissue independent claims over original patent			TOTAL =	\$ 1104

1. Small entity status:

- A small entity statement is enclosed.
- A small entity statement was filed in the prior non-provisional application and such status is still proper and desired.
- Is no longer claimed.

2.  A general authorization is hereby granted to charge deposit account number 08-0380 for any fees required under 37 CFR 1.16 and 1.17 in order to maintain pendency of this application. A copy of this authorization is enclosed for accounting purposes.

3.  A check is enclosed for \$1104.  Please charge \$[ ] to Deposit Account No. 08-0380.

4.  Other: \_\_\_\_\_  
\_\_\_\_\_

Signature		Date	May 2002
Submitted by Typed or Printed Name	Timothy J. Meagher	Reg. Number	39,302